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| FORM PTO-1390<br>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE   |  | ATTORNEY DOCKET NUMBER<br><b>THOM-0012</b>                             |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371 |  | U.S. APPLICATION NO. (if known see 37 C.F.R. 1.5)<br><b>09/646,032</b> |
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| INTERNATIONAL APPLICATION NO.<br><b>PCT/GB99/00765</b> | INTERNATIONAL FILING DATE<br><b>15 March 1999</b> | PRIORITY DATE CLAIMED<br><b>13 March 1998</b> |
|--|---|---|

TITLE OF INVENTION **FIELD EMISSION CATHODE AND FIELD EMISSION DISPLAY**

APPLICANT(S) FOR DO/EO/US **William ECCLESTON, et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3.  This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4.  A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5.  A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a.  is transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  has been transmitted by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US)
6.  A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a.  are transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  have been transmitted by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
8.  A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9.  An oath or declaration of the inventor(s) 35 U.S.C. 371(c)(4).
10.  A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12.  An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13.  A FIRST preliminary amendment.  
 A SECOND or SUBSEQUENT preliminary amendment.
14.  A substitute specification.
15.  A change of power of attorney and/or address letter.
16.  Other items or information:

RECEIVED  
 JAN - 9 2001  
 TECHNOLOGY CENTER 2900

EXPRESS MAIL Mailing Label No. **L659801467US**  
 Date of Deposit: **January 2, 2001**  
 I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231  
 MAILER **Robert Galonsky**  
 SIGNATURE *Robert Galonsky*

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| U.S. APPLICATION NO. (if known 37 C.F.R. 1.5)<br><b>09/646,032</b> | INTERNATIONAL APPLICATION NO.<br><b>PCT/GB99/00765</b> | ATTORNEY DOCKET NUMBER<br><b>THOM-0012</b> |
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17.  The following fees are submitted:

**Basic National Fee (37 CFR 1.492(a)(1) - (5)):**  
 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....**\$1,000.00**

International preliminary examination fee (37 CFR 1.482 not paid to USPTO but International Search Report has been prepared by the EPO or JPO.....**\$860.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....**\$710.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4).....**\$690.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4).....**\$100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =** \$

CALCULATIONS      PTO USE ONLY

Surcharge of \$130.00 for furnishing the oath or declaration later than    20    30 months from the earliest claimed priority date (37 CFR 1.492(e)). \$

| Claims                                       | Number Filed | Number Extra | Rate       |    |  |
|--|--------------|--------------|------------|----|--|
| Total claims                                 | 17 - 20 =    | 0            | X \$18.00  | \$ |  |
| Independent Claims                           | 3 - 3 =      | 0            | x \$80.00  | \$ |  |
| Multiple dependent claims(s) (if applicable) |              |              | + \$270.00 | \$ |  |

**TOTAL OF ABOVE CALCULATIONS =** \$

Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. \$

**SUBTOTAL =** \$

Processing fee of **\$130.00** for furnishing the English translation later than    20    30 months from the earliest claimed priority date (37 CFR 1.492(f)). + \$

**TOTAL NATIONAL FEE =** \$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property +

**TOTAL FEES ENCLOSED =** \$


|  |                      |    |
|--|----------------------|----|
|  | <b>Amount to be:</b> |    |
|  | <b>refunded</b>      | \$ |
|  | <b>charged</b>       | \$ |

- a.  A check in the amount of \$\_\_\_\_\_ to cover the above fee is enclosed.
- b.  Please charge my Deposit Account No. 23-3050 in the amount of \$\_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3050. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

**John W. Caldwell**  
 Woodcock Washburn Kurtz  
 Mackiewicz & Norris LLP  
 One Liberty Place - 46th Floor  
 Philadelphia, PA 19103  
 (215) 568-3100

  
 SIGNATURE  
**John W. Caldwell**  
 NAME  
28,937  
 REGISTRATION NUMBER

DOCKET NO.: THOM-0012

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **William Eccleston et. al.**

U.S. Serial No.: **09/646,032**

International Application Number: **PCT/GB99/00765**

International Filing Date: **15 March 1999**

Group Art Unit: **Not Yet Assigned**

Examiner: **Not Yet Assigned**

For: **FIELD EMISSION CATHODE AND FIELD EMISSION DISPLAY**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attn: BOX PCT

Dear Sir:

**PRELIMINARY AMENDMENT**

Applicant requests that the above-captioned application be amended, before examination and without prejudice, as follows:

Enclosed are replacement sheets 4, 7. No new matter has been added.

Please make the following amendments:

**In the Abstract:**

Please add the following Abstract to the application: